

**9.0 Post-Inspection Procedures**

Animal Inventory Sheet.....9.1  
Delivery of the Inspection Report.....9.2  
Enforcement Actions.....9.3  
Sending Inspection Reports to the Regional Office.....9.4

1987-1988

1987-1988

**ANIMAL  
INVENTORY  
SHEET**

An "Animal Inventory" sheet must be completed for each inspection report that is not entered into LARIS by the inspector.

If you are going to be unable to enter the word processing Inspection Report into LARIS for an extended period of time:

- contact your SACS to determine if someone at the Regional Office will enter the Inspection Report for you
- complete an Animal Inventory sheet (see page 9.1.2) if the Regional Office will be entering the Inspection Report into LARIS

Before sending the inspection report to the Regional Office:

- complete the Animal Inventory sheet with:
  - ▶ research facility's name
  - ▶ research facility's registration number
  - ▶ date of inspection
  - ▶ total number of animals for each category (see List of Species for the Animal Inventory - page 9.1.3)
- attach the sheet to the Inspection Report

**NOTE:** Do **not** include facility-generated inventory sheets with your inspection report.





# ANIMAL INVENTORY

Facility:

Lic. / Reg. #:

Date:

ANIMAL TYPE	# INSPECTED
None	
Adult Dog	
Puppy	
Adult Cat	
Kitten	
Guinea Pig	
Hamster	
Rabbit	
Group 1 Nonhuman Primate (Marmoset, Tamarin)	
Group 2 Nonhuman Primate (Capuchin, Squirrel Monkey)	
Group 3 Nonhuman Primate (Macaque, African Species)	
Group 4 Nonhuman Primate (Male Macaque, Large African Species)	
Group 5 Nonhuman Primate (Baboon)	
Group 6 Nonhuman Primate (Great Ape)	
Group 1 Cetacean (Beluga Whale, Killer Whale, Bottlenose Dolphin)	
Group 2 Cetacean (Common dolphin, White Sided Dolphin)	
Group 1 Pinniped (Fur Seal, Walrus, Harbor Seal, Sea Lion)	
Group 2 Pinniped (Bearded Seal, Ringed Seal, Hooded Seal)	
Polar Bear	
Sea Otter	
Sirenian	
Bear (Other Than Polar Bear)	
Elephant	
Large Wild/Exotic Felid (Lion, Tiger, Leopard, Cheetah, Mountain Lion)	
Small Wild/Exotic Felid (Bobcat, Lynx, Ocelot, Caracal)	
Large Wild/Exotic Canid (Wolf)	
Small Wild/Exotic Canid (Fox, Jackal, Dingo, Coyote, Hyena)	
Pocket Pet (Hedgehog, Sugar Glider, Prairie Dog, Gerbil, Chinchilla)	
Wild/Exotic Hoofed Animal (Tapir, Rhino, Hippo, Giraffe, Antelope)	
Wild/Exotic Other Animal (Kangaroo, Opossum, Bat, Porcupine, Weasel)	
Farm Animal	

## SUPPLEMENTARY DATA FOR RBIS

NCI #	Section Number (Exactly as entered on inspection report)	# Animals Affected	NCI Severity (Critical, Direct, or Indirect)	NCI Significance (Low, Medium, or High Risk)	Repeat NCI? (X if yes)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					





## List of Species for the Animal Inventory

Animal Type	Description and/or list of species*
Adult Dog	16 weeks old or older
Puppy	under 16 weeks
Adult Cat	16 weeks old or older
Kitten	under 16 weeks
Guinea Pig	all varieties
Hamster	Syrian (Russian), long hair, golden, dwarf, etc.
Rabbit	all varieties of rabbits and hares
Group 1 NHP	marmosets, tamarins, fat-tailed dwarf lemurs and infants less than 6 months of age of various species
Group 2 NHP	juveniles (6 months to 3 years of age) of various species, and capuchins, squirrel monkeys and similar size species, such as aye-eyes, Galagos/bush babies, goeldi monkeys, loris, owl monkeys, tarsiers, and titi monkeys
Group 3 NHP	macaques and African species, such as adult crab-eating macaques (Cynomolgus), African green monkeys, Barbary apes, bearded sakis Celebes monkeys, colobus monkeys, De Brazza's, guenons, smaller langurs, lemurs, smaller mangabeys, rhesus monkeys, and vervets
Group 4 NHP	male macaques and large African species, black howler, gueneran, Indri monkeys, larger langurs, mandrills, larger mangabeys, patas, female proboscis, and rhesus
Group 5 NHP	baboons and non-brachiating species larger than 33.0 lbs, such as gelada baboons, hamadryas baboons, and male proboscis
Group 6 NHP	great apes over 55.0 lbs and brachiating species, such as bonobos, chimpanzees, gibbons, gorillas, orangutans, siamangs, snub-nosed monkeys, spider monkeys, and woolly spider monkeys
Group 1 Cetaceans	Amazon porpoise, beluga whale, bottlenose dolphin, Commerson's dolphin, false killer whale, Franciscana, harbor porpoise, killer whale, minke whale, narwhale, pilot whale (long- and short-finned), Risso's dolphin, river dolphin, and Tucuxi
Group 2 Cetaceans	Atlantic white-sided dolphin, common dolphin, Dall's porpoise, duskey dolphin, finless porpoise, hourglass dolphin, melon-headed whale, northern right whale dolphin, Pacific white-sided dolphin, pygmy killer whale, sperm whale (dwarf and pygmy), rough-toothed dolphin, spinner dolphin, spotted dolphin, striped dolphin, and white-beaked dolphin



Group 1 Pinnepeds	American sea lion, Amsterdam Island fur seal, Antarctic fur seal, baikal seal, California sea lion, Cape fur seal, crab-eater seal, elephant seal (northern and southern), gar seal, harbor seal, harp seal, leopard seal, northern fur seal, ribbon seal, Ross seal, South American fur seal, South Caspian seal, Steller's sea lion, walrus, and Weddell seal
Group 2 Pinnepeds	bearded seal, hooded seal, and ringed seal
Polar Bear	
Sea otter	
Sirenian	Amazon manatee, dugong, and West Indian manatee
Bear (other than polar bear)	American black bear, Asian black bear, brown bear, cinnamon bear, Eurasian brown, grizzly bear, Kodiak, sloth bear, spectacled bear, and sun bear
Elephant	African and Asian
Large Wild/Exotic Felid	cheetah, cougar (mt.lion, puma), jaguar, leopard, liger, lion, panther, and tiger (bengal, siberian)
Small Wild/Exotic Felid	bobcat, caracal, geoffroy's cat, jaguarundi, lynx, margay, ocelot, and serval
Large Wild/Exotic Canid	wolf
Small Wild/Exotic Canid	coyote, dingo, fox (arctic, silver, fennec), and jackal
Pocket Pet	chipmunk, deer mice, degus, dormice, flying squirrel, gerbil, hedgehog, jerboas, jird, kangaroo rat, prairie dogs, spiny mice, squirrel, sugar gliders, and vole
Wild/Exotic Hoofed Animals	alpaca, bighorn sheep, bison, blesbok, buffalo, camel, caribou, deer (fallow, red, sika) eland, elk, gazelle, gemsbok, giraffe, impala, javelina, kudu, okapi, oryx, reindeer, watusi, wild pigs, yak, and zebra
Wild/Exotic Other Animals	aardvark, ant eater, armadillo, badger, bat, beaver, binturong, capybara, chinchilla, coatimundi, ferret, fisher, groundhog, hippo, hyena, kangaroo, kinkajou, marten, meerkat, mink, mongoose, opossum, panda (red and giant), platypus, polecat, porcupine, raccoon, river otter, rhinoceros, sloth, tapir, tayra, tree shrew, wallaby, wallaroo, weasel, and woodchuck
Farm Animals	cattle (Dexter, Highlander, Zebu), goats, pygmy goats, llamas, pigs, pot-bellied pigs, sheep (Jacobs sheep), and horses used in research



<b>DELIVERY OF THE INSPECTION REPORT</b>	The inspector may deliver the inspection report to a registrant or designated representative by hand or send the inspection report by certified mail or e-mail, if necessary.
<b>Criteria</b>	<p>Hand delivering and having the registrant or designated representative sign the inspection report is the preferred method of delivery.</p> <p>There may be circumstances where an inspection report has to be sent by certified mail or e-mail. These include, but are not limited to:</p> <ul style="list-style-type: none"><li>• an attempted inspection</li><li>• refusal by a registrant/representative to allow an inspection</li><li>• refusal by a registrant/representative to sign the inspection report</li><li>• having to leave the facility before completion of the inspection or exit briefing due to<ul style="list-style-type: none"><li>▶ threats of physical harm</li><li>▶ unsafe conditions</li><li>▶ responsible person not available</li></ul></li><li>• when you did not complete the inspection report during the inspection process</li></ul> <p>If you did not complete the inspection report during the inspection process, <b>you must conduct a detailed and thorough exit briefing with the registrant or designated representative before leaving the premises, unless it is unsafe to do so.</b></p> <p>If the inspection report is mailed, it must arrive at the research facility before the earliest correction date deadline.</p> <p>It is recommended that the inspection report be hand delivered at the exit briefing if there is:</p> <ul style="list-style-type: none"><li>• a direct noncompliant item(s)</li><li>• an excessive number of noncompliant items</li><li>• a noncompliant item with a short correction date</li><li>• possible misunderstandings of the requirements</li></ul>

**Methods of  
Delivery**

*Hand Delivery*

If the inspection report is delivered by hand:

- obtain the registrant/representative's signature
- leave a copy of the inspection report at the facility with the registrant or designated representative

**NOTE:** If the registrant or designated representative refuses to sign the inspection report:

- type "hand-delivered" in the "Received By" block
- send a copy of the inspection report to the research facility by certified mail

*Certified Mail*

To send the inspection report by certified, return receipt mail:

1. Complete the "Receipt for Certified Mail" form (see page 9.2.4)
2. Attach the top portion of the "Receipt" to the Regional Office copy of the inspection report. **NOTE:** If you are mailing the letter yourself, put the date on the receipt.
3. Attach the bottom portion of the "Receipt" to the front of the mailing envelope to the right of the return address.
4. Print "Return Receipt Requested" under the "Receipt" on the front of the envelope
5. Complete BOTH sides of the green return receipt postcard: (see page 9.2.5)
  - ▶ in Block 3, include the USDA license number
  - ▶ above Block 3, write the reason for sending the report certified mail, e.g., attempted inspection, or refusal to sign
  - ▶ in Block 4a, write in the number from the "Receipt for Certified Mail"
  - ▶ on the front side of the postcard, put in the Regional Office's address
6. Attach the green postcard to the back of the envelope

**NOTE:** Some Post Offices do not want the inspector mailing certified letters him/herself, i.e., not mailing at the Post Office desk. Check with your local Post Office.

*E-mail*

To send the inspection report by e-mail:

1. Verify that the registrant/representative has the capability to open and read the Inspection Report
2. Save the inspection report:
  - ▶ if a Word document, it will have the extension “.doc”
  - ▶ if a LARIS document, save as an Adobe Acrobat file with the extension “.pdf”
3. In your e-mail message accompanying the inspection report, request that the registrant/representative acknowledge receipt of the report via e-mail
4. Attach the inspection report to the e-mail message
5. Print out and save the printed copy of the e-mail acknowledgment of receipt response from the registrant/representative

**NOTE:** If the registrant/representative does not acknowledge receipt of the inspection report, a copy of the inspection report should be:

- hand delivered, or
- faxed, requesting a return fax with the inspection report signed and dated, or
- sent by certified, return receipt mail





7001 1940 0003 1712 1188

PLACE STICKER AT TOP OF ENVELOPE TO THE RIGHT  
 OF THE RETURN ADDRESS. FOLD AT DOTTED LINE.

CERTIFIED MAIL



7001 1940 0003 1712 1188  
 7001 1940 0003 1712 1188

U.S. Postal Service  
**CERTIFIED MAIL RECEIPT**  
 (Domestic Mail Only; No Insurance Coverage Provided)

**OFFICIAL USE**

Postage	First Class	Postmark Here or Date Mailed
Certified Fee	Amt	
Return Receipt Fee (Endorsement Required)	Amt	
Restricted Delivery Fee (Endorsement Required)		
Total Postage & Fees	\$ Total	

Sent To

NAME

---

Street, Apt. No.,  
 or PO Box No. ADDRESS OR LICENSE NUMBER

---

City, State, ZIP+ 4

PS Form 3800, January 2001 See Reverse for Instructions

SENDER: COMPLETE THIS SECTION	COMPLETE THIS SECTION ON DELIVERY		
<ul style="list-style-type: none"> <li>■ Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.</li> <li>■ Print your name and address on the reverse so that we can return the card to you.</li> <li>■ Attach this card to the back of the mailpiece, or on the front if space permits.</li> </ul> <p style="text-align: right; margin: 0;"><b>REASON</b></p> <p>1. Article Addressed to: <u>LIC/REG #</u></p>  <p style="text-align: center; margin: 0;"><b>NAME</b> <b>ADDRESS</b></p>	<p>A. Signature  <u>X</u> <span style="float: right;"><input type="checkbox"/> Agent <input type="checkbox"/> Addressee</span></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 2px;">B. Received by (Printed Name)</td> <td style="width: 50%; padding: 2px;">C. Date of Delivery</td> </tr> </table> <p>D. Is delivery address different from item 1? <input type="checkbox"/> Yes                  If YES, enter delivery address below: <input type="checkbox"/> No</p>	B. Received by (Printed Name)	C. Date of Delivery
B. Received by (Printed Name)	C. Date of Delivery		
<p>2. Article Number                  (Transfer from service label)</p>	<p>3. Service Type  <input checked="" type="checkbox"/> Certified Mail    <input type="checkbox"/> Express Mail  <input type="checkbox"/> Registered    <input type="checkbox"/> Return Receipt for Merchandise  <input type="checkbox"/> Insured Mail    <input type="checkbox"/> C.O.D.</p> <p>4. Restricted Delivery? (Extra Fee) <input type="checkbox"/> Yes</p>		
<p><b>RECEIPT NUMBER</b></p>			
<p>PS Form 3811, August 2001                      Domestic Return Receipt                      102595-01-M-2500</p>			

UNITED STATES POSTAL SERVICE



First-Class Mail  
 Postage & Fees Paid  
 USPS  
 Permit No. G-10

• Sender: Please print your name, address, and ZIP+4 in this box •

**REGIONAL OFFICE**  
**ADDRESS**



**ENFORCEMENT  
ACTIONS**

An enforcement action should be recommended for all multiple, severe or repeat violations of the Animal Welfare Act.

You **must** recommend an enforcement action with any inspection report containing a severe or repeat noncompliant item(s).

You **may** recommend an enforcement action with any inspection report for which you want some action taken, such as:

- a chronic/recurring noncompliant item
- a direct noncompliant item
- multiple noncompliant items

See “Enforcement Action Guidance for Inspection Reports” flowchart on page 9.3.4.

**NOTE:** The enforcement action that you recommend should be one that you believe will gain compliance.

The enforcement action recommendation should:

- be submitted following your Region’s procedure (**not in the inspection report narrative**)
- contain an explanation as to why you are recommending that action
- include all photographs taken of animal-related noncompliances, if appropriate. **NOTE:** Photos are required for a 7060, stipulation, or OGC prosecution. If the registrant or representative refuses to allow you to take photos of noncompliances, cite under 2.38(b)(v).
- include copies of records for record-related noncompliances, if appropriate, such as:
  - ▶ to document activities requiring a registration or license
  - ▶ when you believe that the records may “lost” or altered after you leave the facility
  - ▶ for traveling exhibitors
  - ▶ at auction markets
  - ▶ at airports

**NOTE:** You can only request one enforcement action at a time.

The following are enforcement actions that you may recommend and guidelines to help you choose the appropriate enforcement action:

- **No action**

- ▶ registrant making clear progress toward compliance
- ▶ no critical or direct NCIs
- ▶ a small number of minor repeat NCIs
- ▶ no animals in jeopardy
- ▶ no previous enforcement actions
- ▶ expect registrant to achieve compliance on next inspection

**NOTE:** A Letter of Information (LOI) may be requested, if used by your Region, if you believe that no action is inappropriate but a 7060 is too harsh. However, an LOI is **not** an enforcement action.

- **Official Warning (APHIS Form 7060):**

- ▶ registrant making slow to no progress toward compliance, i.e., repeat or chronic minor NCIs
- ▶ one or more critical or direct NCIs
- ▶ multiple severe or moderate NCIs
- ▶ animal health not in serious jeopardy
- ▶ no enforcement actions in last three years

- **Stipulation**

- ▶ registrant making no progress toward compliance
- ▶ one or more critical or direct repeat NCIs
- ▶ multiple severe repeat NCIs
- ▶ animals in jeopardy
- ▶ enforcement actions in last three years
- ▶ previous enforcement actions for the noncompliance(s) have not been effective in gaining compliance

Note: Issuance of a stipulation may require an IES investigation.

- **OGC Prosecution**

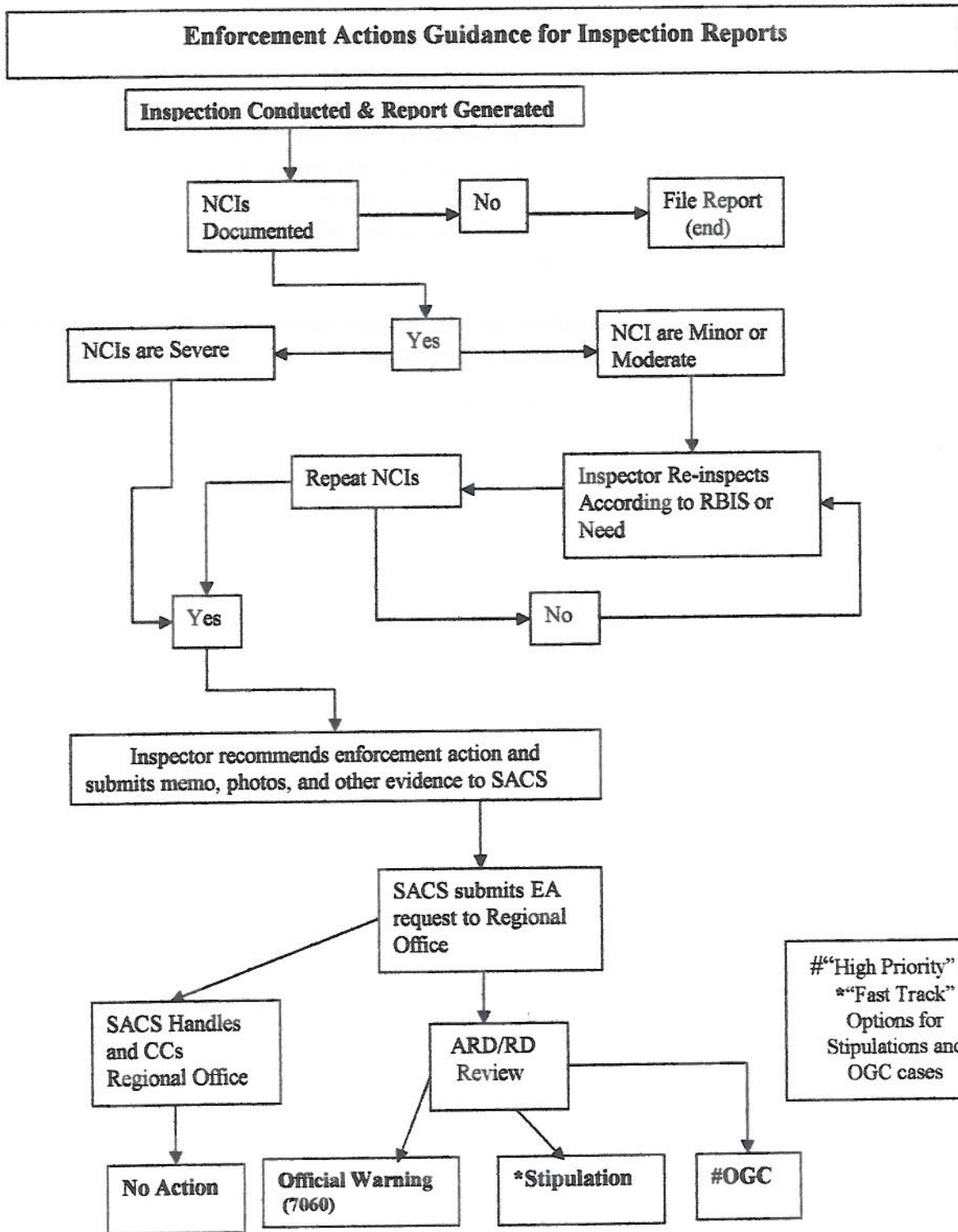
- ▶ registrant blatantly making no progress toward compliance
- ▶ one or more critical or direct repeat NCIs

- ▶ multiple severe repeat NCIs
- ▶ animals in jeopardy
- ▶ enforcement actions in last three years
- ▶ previous enforcement actions for the noncompliance(s) have not been effective in gaining compliance

Note: OGC prosecution will require an IES investigation.

You should continue to conduct routine inspections regardless of on-going enforcement actions.





**SENDING  
INSPECTION  
REPORTS TO  
REGIONAL OFFICE**

All inspection reports must be sent to the Regional Office or your SACS at the end of each work week.

You must attach all appropriate forms, sheets, and memos to the inspection report.

Examples of information that should be attached to the inspection report, when applicable, include, but are not limited to:

- certified mail receipt
- verification of receipt of inspection report sent by email
- change of address information
- site add/delete sheet
- recommendation for enforcement action
- photos
- Animal Inventory sheet
- Application for Registration (APHIS Form 7011)
- complaint form
- search form

**Even though you replicate, you must send in the hard copy of the Inspection Report in a timely manner.**

*Research Facility Registered in a Different Region*

If you inspect a site of a research facility which is not registered in your region, you should send the inspection report to your Regional Office for forwarding to the other Regional Office.

